



Knowledge Exchange Framework Consultation

January 2019

RE-P-2019-01

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KEF consultation and responses invited

Background

1. This document details the proposed design and implementation plan for the first iteration of the Knowledge Exchange Framework (KEF) for English Higher Education Institutions (HEIs). The proposed design is set out in the main body of this document.
2. In November 2018 we published three documents; i) responses we received to the earlier call for evidence, ii) the cluster analysis of Higher Education Institutions and a technical note on use of UKRI data in the framework. These documents are available at <http://re.ukri.org/knowledge-exchange/knowledge-exchange-framework/>
3. We are launching this consultation in response to the commission set out in the Government's Industrial Strategy White Paper (available at <https://www.gov.uk/government/publications/industrial-strategy-building-a-britain-fit-for-the-future>), asking us to develop a Knowledge Exchange Framework, detailed in a November 2017 ministerial letter (available at <https://re.ukri.org/documents/2017/jo-johnson-to-david-sweeney/>).

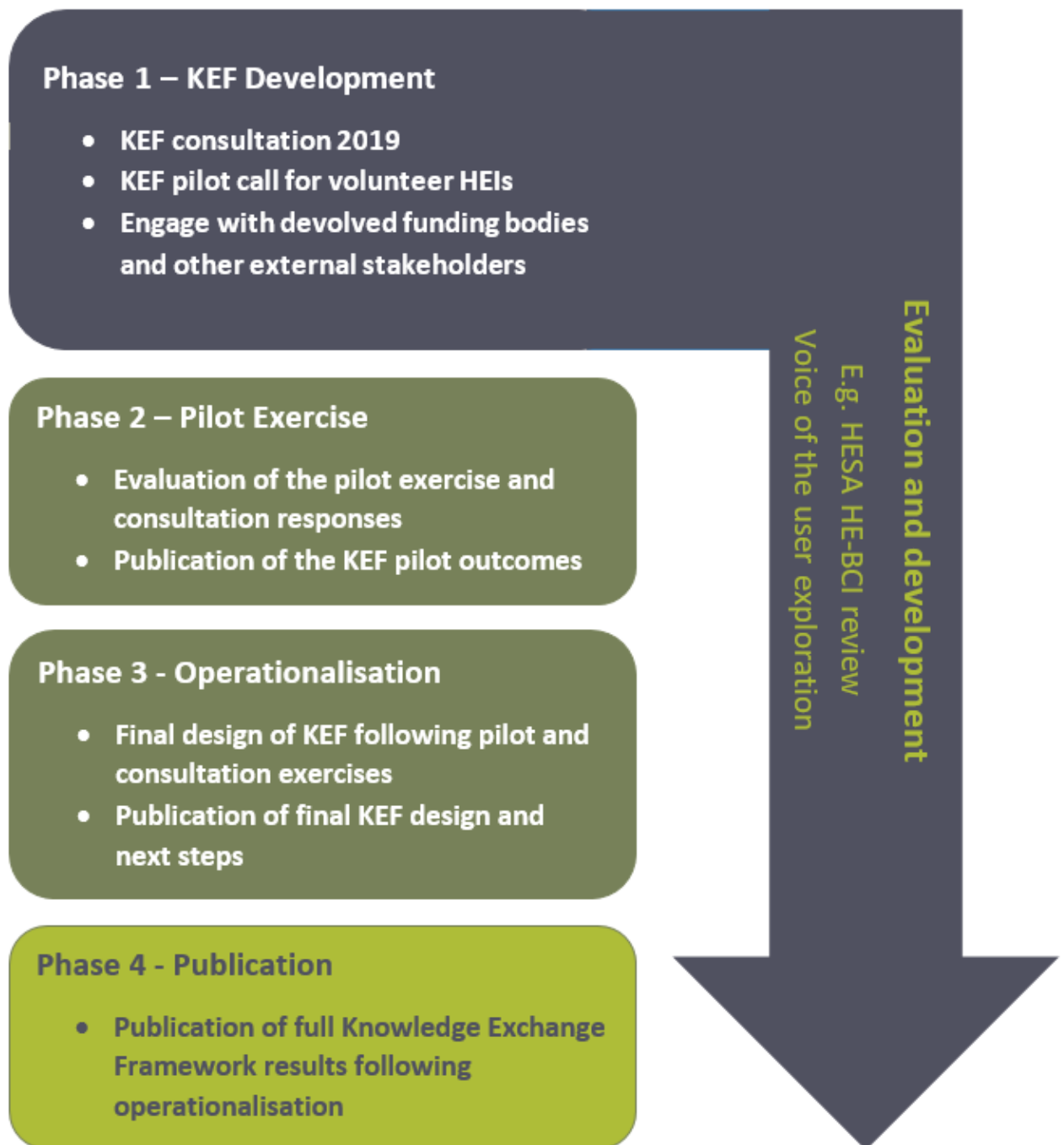
Link to funding

4. In this commission we were also asked to advise on an appropriate link to funding. We proposed to the Government that we review a link to funding in the light of an evaluation of the incentives this would give for universities to follow government priorities such as focusing on demonstrable high performance, delivering the Industrial Strategy, and the commitment to reaching an R&D spend of 2.4% of GDP. As such we will revisit this question as part of the evaluation of the pilot exercise. This may then be subject to further consultation.

Implementation

5. The KEF implementation will take place over four phases, as shown in figure 1. Whilst Research England's remit is England only, as requested in the original commission we will continue to engage with external stakeholders including the devolved funding bodies (to explore the potential for them to utilise the framework if they so choose), the Office for Students and others.

Figure 1 – KEF implementation phases



Government response

6. Research England developed the proposals for the design and implementation of the KEF that are set out in this document and delivered these to the Minister of State for Universities, Science, Research and Innovation. The Minister's response of 14 November 2018 is provided at [Annex A](#).

KEF Consultation

7. We now invite responses to our proposals through the online KEF consultation survey. Before responding to the online questions, please read this document, its annexes and associated linked documents. These documents together represent the most up-to-date information and final proposals for the design and implementation of the KEF.
8. Consultation responses should be submitted via the online survey at <https://www.smartsurvey.co.uk/s/KEFconsultation2019/>. The consultation will close at **midday on Thursday 14 March 2019**.
9. Any questions regarding this document or the survey should be directed to Sacha Ayres, Senior Policy Adviser, Knowledge Exchange at KEPolicy@re.ukri.org or 0117 931 7385.

Call for Pilot institutions

10. We are now also calling for English HEIs eligible for Research England funding (i.e. those previously designated for funding by HEFCE) to express interest in volunteering to take part in a pilot exercise for the remainder of the 2018/19 academic year. The pilot will further test and refine the proposals set out in this consultation before we make our recommendations for the full operationalisation of the KEF.
11. We anticipate selecting a representative cross-section of 12-16 HEIs and will select volunteers who together represent a range of types of institution, geography and mission/focus. Depending on the level of interest it therefore may not be possible to accommodate all volunteers. We will work with this group to explore various aspects of the proposals via a series of workshops. The intention would be to publish the results of the pilot exercise and its evaluation as Phase 2 of the KEF implementation shown in [Figure 1](#).
12. Interested parties should note that the deadline for expressions of interest for the pilot exercise is earlier than the main consultation closing date. Those wishing to express an interest in volunteering should read the guidance provided at [Annex F](#) and provide the information outlined by email to KEPolicy@re.ukri.org by **midday on Friday 25 January 2019**. HEIs will be notified of whether they have been selected to participate in the pilot by Thursday 31 January, with a series of workshops expected to take place between February and April 2019.
13. Any questions regarding the pilot should be directed to Hamish McAlpine, Head of KE Data and Evidence at KEPolicy@re.ukri.org or 0117 931 7293.

KEF proposals

14. The following sections describe the proposals on which we are consulting. These proposals have been shaped by technical work undertaken by Research England and UKRI, informed by responses received to the call for evidence and discussions with [KEF technical advisory group](#). The technical advisory group discussed and gave feedback on a range of topics and papers presented to them. Research England gratefully acknowledges their support; these discussions and the many useful suggestions made helped to shape the technical work and subsequent proposals.

Purpose

15. The KEF has two main purposes:

- To provide HEIs with a useful source of information and data on their knowledge exchange (KE) activities, for the purposes of understanding, benchmarking and improving their own performance.
- To provide businesses and other users (and potential users) of HEI knowledge with another source of information, which may increase visibility of potential university partners and their strengths, and contribute to their internal decision making processes.

16. Underpinning both of these purposes is the objective of providing more easily accessible and comparable information on performance for the purposes of transparency and public accountability.

Overall approach

17. To fulfil the purposes stated above, we are proposing an annual, institutional-level, largely metrics driven exercise. Note that all of the proposed metrics are gathered through existing statutory returns, or are available from other UKRI or external sources, meaning that there will be no additional data collection burden in this first iteration.

- **Annual** – to reflect up-to-date performance, with many existing KE metrics being gathered annually at present.
- **Institutional-level** – reflecting that the vast majority of existing data are collected at this level, and many types of KE are multidisciplinary. This also reflects our desire for a low-burden exercise.
- **Largely metrics-driven** – again reflecting our desire for a low-burden exercise, but also to enable comparability across HEIs. However, we recognise that some areas of KE are

not well represented by existing metrics and that responsible metric principles should be taken into account.

Clustering of institutions for fair comparison

18. This section describes how we propose to take forward the outputs of the clusters analysis of Higher Education Institutions. We recognise that the English HE sector contains a wide variety of institutions, with diverse missions and other characteristics which will shape the type of knowledge exchange activities they will undertake. We are proposing to take into account these structural differences by creating clusters of institutions based on their assets and capabilities to undertake knowledge exchange.
19. It is our intention that these clusters will be used to assess an individual institution's performance relative to the average of its peers within each cluster, as described under the heading '[Presentation and visualisation of results](#)' below.
20. These clusters are intended to aid fair and meaningful comparison in a diverse sector, and should not be interpreted as a form of ranking in their own right. To this end, we have assigned a random letter to each of the main clusters, then ordered them in alphabetical order. Institutions are also presented in their clusters in alphabetical order.
21. We welcome consultation responses in three areas:
Firstly, on the specific aspects of the:
 - Conceptual framework (i.e. the rationale for what data was selected to perform the cluster analysis).
 - Variables chosen (i.e. the various data sources used, such as the discipline mix and research profile of an institution) to perform the analysis and assign similar institutions to a cluster.
 - Resulting membership of the clusters themselves (e.g. whether the member of a cluster identify themselves as having similar characteristics as other cluster members).
22. Secondly, we are seeking views on whether these groupings support the purpose(s) of the KEF and help us achieve the aim of fair comparison.
23. Finally, we are also specifically consulting on the treatment of the two smaller clusters of Social Science and Business (SSB) and STEM specialist institutions. If you are responding to this consultation on behalf of an institutions in one of these clusters, there is a specific question on this point. In your response, you may wish to consider whether members of these clusters be manually reassigned to another and if so, which?

24. The full technical report on the cluster analysis may be found at <http://re.ukri.org/documents/2018/kef-cluster-analysis-report/>. The proposed cluster membership may be found at [Annex B](#).

Proposed metrics and their grouping into perspectives

25. We are aiming to capture the range of KE activities in seven broad ‘perspectives’ of KE. Each perspective will contain a number of specific metrics (and narrative where appropriate). In selecting the individual metrics we have sought to follow the principles of selecting metrics that are:
- Useful
 - Robust
 - Universal
 - Timely
 - Focussed
26. As an example of our selection process, it was proposed that a metric such as number of patents *applied for* might tell one something useful about the commercialisation of research. This figure is collected across the UK via the HE-BCI survey on an annual basis so meets the principles of being **universal** and **timely**. However, we do not consider it a **robust** enough measure as it has the potential to create an incentive to patent where this is not the most appropriate exploitation route.
27. We have also sought to provide balance for different strategies to be pursued – for example, by assessing both IP income and indicators related to the success of University spin-off companies, we are not pre-supposing that one form of KE is preferable to another.
28. The seven perspectives are:
- Research partnerships
 - Working with business
 - Working with the public and third sector
 - Skills, enterprise and entrepreneurship
 - Local growth and regeneration
 - IP and commercialisation
 - Public and community engagement
29. Underneath each perspective are a number of metrics. All metrics are to be comprised of the average of the most recent three years’ data and equally weighted. A description of the proposed metrics under each perspective may be found in [Annex C](#).

30. All of the proposed metrics are gathered through existing statutory returns, or are available from other UKRI or external sources, meaning that there will be no additional data collection burden in this first iteration.
31. For the proposed metric of 'Co-authorship with non-academic partners as a proportion of total outputs', whilst we have conducted initial technical work to satisfy ourselves that this could be a viable and useful metric, we will work with the pilot group and other experts to determine how this metric will be provided to Research England.

The role of narrative statements and other contextual information

32. We do not believe that the current metrics in two of the perspectives offer sufficient coverage of the range of activities that take place, meaning they are less likely to be useful for the purposes of performance comparison. We further note that there was strong support for the use of narrative in the [report summarising the KEF call for evidence responses](#). We therefore intend to supplement the perspectives of 'public and community engagement' and 'local growth and regeneration' with additional narratives.
33. The purpose of the narratives are to:
- Act as a 'marker' to emphasise that existing metrics do not fully describe the activity in these perspectives.
 - Be useful statements in their own right, contributing a useful description of contextual factors that shape the activity, and well described examples of outputs and outcomes.
 - Allow a degree of comparison between institutions.

Narrative statements: definitions and content

34. For the purposes of the Public & Community Engagement perspective we are basing our understanding of 'public [& community] engagement on the National Co-ordinating Centre for Public Engagement (NCCPE)'s definition of public engagement. We have encompassed 'community' into the NCCPE's existing definition of public engagement but we are not seeking to limit the forms of community with which a particular HEI may engage.

"Public engagement describes the myriad of ways in which the activity and benefits of higher education and research can be shared with the public [and communities]. Engagement is by definition a two-way process, involving interaction and listening, with the goal of generating mutual benefit."

[National Co-ordinating Centre for Public Engagement](#)

35. By 'local growth and regeneration' we mean both:

Institution owned knowledge exchange activities with spill over outcomes that relate to local growth and regeneration. By this we mean the generic KE activities that an institution is undertaking to meet its wider strategic goals, but as a consequence of these activities, local growth and regeneration outputs and outcomes are also achieved.

And

Specific knowledge exchange activities that are targeted to make a difference locally. By this we mean targeted KE activity where higher education institutions, businesses, public sector and the wider civil society work together to achieve a strategic goal with a prime focus on local growth or regeneration in a self-defined local area. This may include local economic development, social inclusion, public space or infrastructure improvements and reconversion of brownfield areas.

36. For consideration of cost and burden, we propose that these narratives will be unassessed/unscored, although we do propose to undertake verification of claims made within them. We still expect them to provide useful and comparable information and therefore contribute to delivering the stated purposes of the exercise.

37. We welcome feedback on the definitions adopted and the proposed initial required content, which may be found in [Annex D](#) and [Annex E](#).

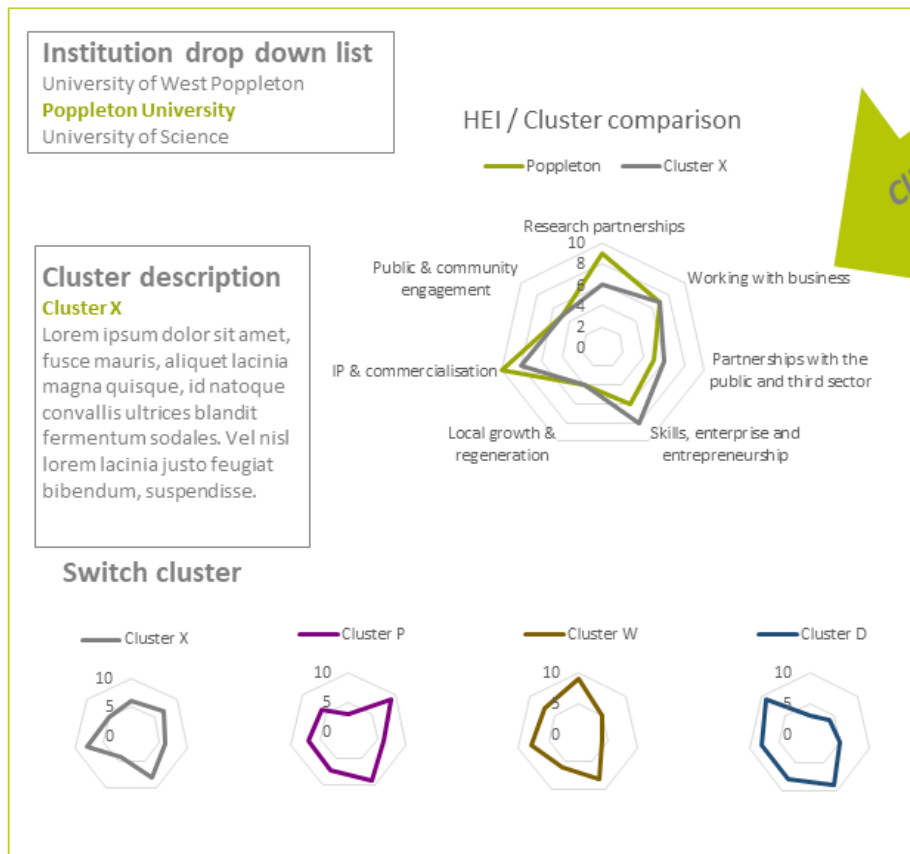
38. We also welcome responses on what other types of narrative or contextual information would be helpful. Responses should consider the burden of any approach. You may wish to consider, for example:

- Should the HEI or Research England provide other narrative information?
- How should we use other contextual information, such as information on local economic competitiveness described in section 5 of the [cluster analysis report](#)?
- Would other perspectives benefit significantly from further narrative information?
- Would the benefit of adding further narrative information be outweighed by the burden of doing so?

Presentation and visualisation of results

39. We regard the presentation of the results of this exercise as an important and integral part of ensuring the KEF fulfils its stated purposes. We propose to present the results as follows.
40. Metrics under each perspective are to be summed and expressed as a decile rank – i.e. as falling into one of 10 values, each representing 10% of the cluster. For example, the top 10% of institutions would be assigned a decile rank of 10, the bottom 10% of institutions would be assigned a decile rank of 1.
41. The performance of each HEI is to be expressed in a radar chart with a scale in deciles, relative to the average decile rank of the peer group.
42. Each of the seven perspectives is to be given equal weighting and visual prominence, and differences in the number of metrics under each perspective will not affect the visual prominence.
43. Perspectives will not be aggregated to provide a single ‘score’.
44. Narratives are to be presented alongside the decile ranking, making it clear that metrics in the two perspectives of public and community engagement and local growth and regeneration are provisional, and should be read in conjunction with the narratives.
45. Visualisation is to be delivered through a set of interactive, online dashboards which will allow exploration of the data underlying the ‘headline’ results in various ways (for example, via visualisation of distribution and 3-year trend data). A video walkthrough of the interactive dashboards will be available on the [KEF webpages](#) and below are two static examples of the proposed visual appearance of the dashboards.

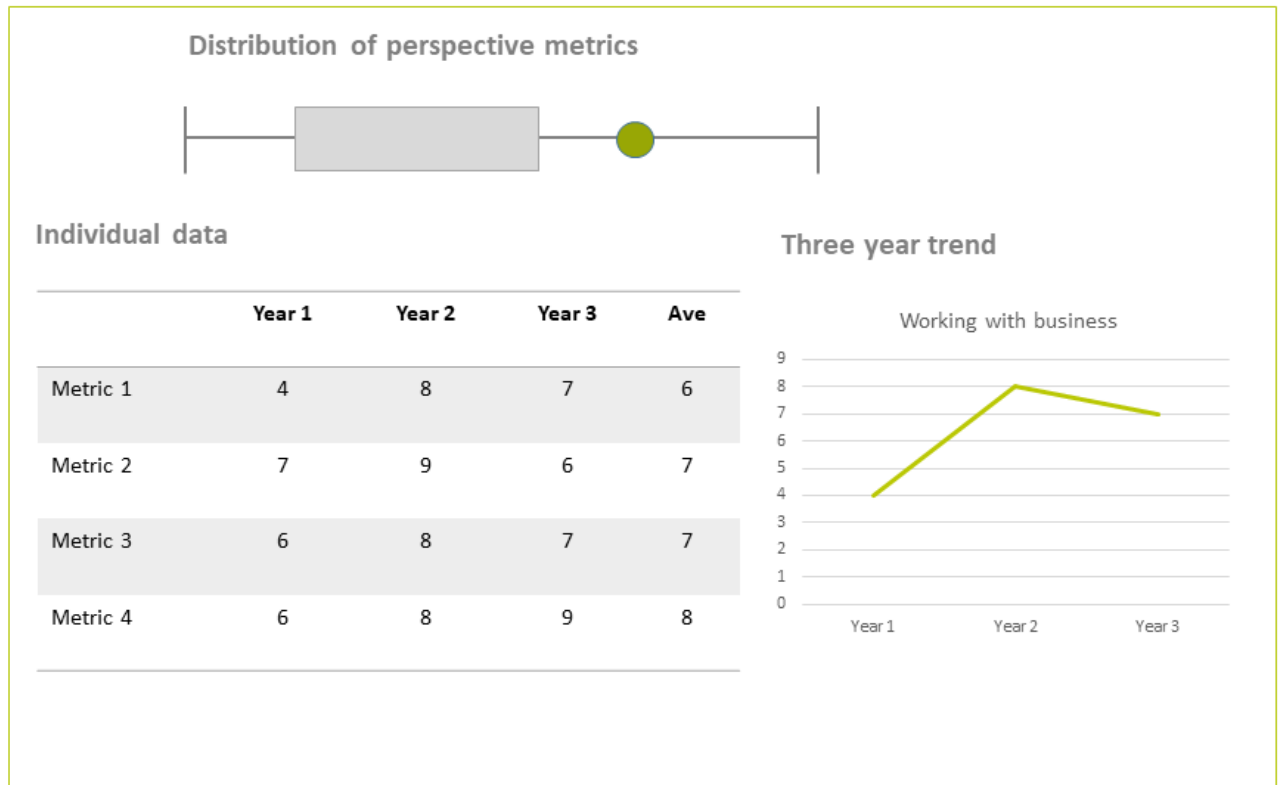
Figure 2 – Example of provider overview dashboard



Click to drill down into perspective

Figure 3 – Example of drill down to individual perspective – distribution and trends

Example drill down showing distribution within cluster and individual data



Annex A – Government response to Research England KEF proposals



David Sweeney
Executive Chair
Research England
Nicholson House
Lime Kiln Close
Bristol BS34 8SR



Sam Gyimah MP
Minister of State for Universities, Science,
Research and Innovation

1 Victoria Street
London
SW1H 0ET

+44 (0) 20 7215 5000
www.education.gov.uk/help/contactus/enquiries@beis.gov.uk
www.gov.uk

14 November 2018

Dear David,

Knowledge Exchange Framework (KEF)

Thank you for your letter setting out your proposals for developing and implementing the Knowledge Exchange Framework (KEF), based on the recommendations from the Technical Advisory Group Chaired by Professor Richard Jones. I welcome your proposed approach, and recognise the dedicated and considered work that has gone into these first stages of developing the KEF.

Universities are critical to our future prosperity. The Industrial Strategy set out their vital role in achieving our ambition to become the world's most innovative economy. Universities must help us to grow innovation in areas across the UK, deliver the skilled people that we need and help turn more ideas into products and services.

I believe the KEF can play an important role in supporting our universities to deliver even greater benefits to our economy and society, and to maintain our global leadership in science, research and innovation.

I would like you to proceed with the next phase of the development and implementation as you set out.

Yours sincerely,



SAM GYIMAH MP

Annex B – Proposed cluster membership

Note: The full report detailing this cluster analysis is available at:

<http://re.ukri.org/documents/2018/kef-cluster-analysis-report/>.

Cluster name and key characteristics	Membership (short name)
<p>Cluster E</p> <p>Large universities with broad discipline portfolio across both STEM and non-STEM generating a mid-level amount of world leading research across all disciplines.</p> <p>Significant amount of research funded by gov't bodies/hospitals; 9.5% from industry.</p> <p>Large proportion of part-time undergraduate students, and small postgraduate population dominated by taught postgraduates.</p>	<ul style="list-style-type: none"> • Anglia Ruskin • Aston • Bedfordshire • Bournemouth • Bradford • Brighton • Central Lancs • City University • Coventry • De Montfort • Goldsmiths • Greenwich • Hertfordshire • Huddersfield • Kingston • Lincoln • John Moores • Manchester Met • Middlesex • Northumbria • N'ham Trent • Open • Oxford Brookes • Plymouth • Portsmouth • Salford • Sheffield Hallam • UWE • Westminster
<p>Cluster J</p> <p>Mid-sized universities with limited funded research activity and generating limited world-leading research.</p> <p>Academic activity across STEM and non-STEM including other health, computer sciences, architecture/planning, social sciences and business, humanities, arts and design.</p>	<ul style="list-style-type: none"> • B'ham City • Bolton • Canterbury • Chester • Derby • East London • Gloucestershire • Leeds Beckett • London Met • South Bank • Northampton • Roehampton • Staffordshire

Research activity funded largely by government bodies/hospitals; 13.7% from industry.	<ul style="list-style-type: none"> • Sunderland • Teesside • Wolverhampton • Worcester
<p>Cluster M</p> <p>Small universities with limited funded research activity and generating limited world-leading research.</p> <p>Academic activity across disciplines, particularly in other health domains and non-STEM.</p> <p>Much of research activity funded by gov't bodies/hospitals; 14.7% from industry.</p>	<ul style="list-style-type: none"> • Bath Spa • Buck's New • Buckingham • Chichester • Cumbria • Edge Hill • Falmouth • Leeds Trinity • Liverpool Hope • Newman • St Mary Tw'ham • Solent • Marjon • Suffolk • West London • Winchester • York St John
<p>Cluster V</p> <p>Very large, very high research intensive and broad-discipline universities undertaking significant amounts of world-leading research.</p> <p>Research funded by range of sources incl. RCs, gov't bodies, charities and 10.2% from industry.</p> <p>Discipline portfolio: significant activity in clinical medicine and STEM.</p> <p>Student body includes significant numbers of taught and research postgraduates.</p>	<ul style="list-style-type: none"> • Birmingham • Bristol • Cambridge • Imperial • King's College • Leeds • Liverpool • Manchester • Newcastle • Nottingham • Oxford • Queen Mary • Sheffield • Southampton • UCL • Warwick
<p>Cluster X</p> <p>Large, high research intensive and broad-discipline universities undertaking a significant amount of world-leading research.</p> <p>Much of research funded by RCs and gov't bodies; 8.5% from industry.</p> <p>Discipline portfolio balanced across STEM and non-STEM with less or no clinical medicine activity.</p> <p>Large proportion of taught postgraduates in student population.</p>	<ul style="list-style-type: none"> • Bath • Birkbeck • Brunel • Durham • East Anglia • Essex • Exeter • Hull • Keele • Kent • Lancaster • Leicester • LSE • Loughborough

	<ul style="list-style-type: none"> • Reading • Royal Holloway • SOAS • Surrey • Sussex • York
<p>Arts specialists</p> <p>Classified by Heuristics:</p> <p>Herfindahl index of discipline concentration >0.4 OR;</p> <p>Any discipline with >50% academics in it.</p>	<ul style="list-style-type: none"> • Arts B'mouth • Dance & Drama • Courtauld • Creative Arts • Guildhall • Leeds Art • Liver Perf Arts • Arts London • Norwich Arts • Plymouth Art • Ravensbourne • Rose Bruford • Royal Ac Music • Royal Coll Art • Royal Coll Music • Speech & Drama • RNCM • Trinity Laban
<p>Social Sciences and Business (SSB) specialists</p> <p>Classified by Heuristics:</p> <p>Herfindahl index of discipline concentration >0.4 OR;</p> <p>Any discipline with >50% academics in it.</p>	<ul style="list-style-type: none"> • UC Birmingham • Bishop G'teste • Heythrop • L'don Business • National Film and Television School* <p><i>*based on 2016 HESA academic staff data</i></p>
<p>Science, Technology Engineering and Maths (STEM) specialists</p> <p>Classified by Heuristics:</p> <p>Herfindahl index of discipline concentration >0.4 OR;</p> <p>Any discipline with >50% academics in it.</p>	<ul style="list-style-type: none"> • ICR • Liver Trop Med • Sch of Hygiene • Royal Vet Coll • St George's • Cranfield • Harper Adams • Royal Agr Uni • Writtle

Annex C – Metrics and perspectives

This annex sets out the proposed perspectives and metrics to be counted under each perspective, noting where narratives will be used in addition in two perspectives. Normalisation by FTEs or research income is by HESA staff, student and finance records. Normalisation by academic FTE is proposed to include both research and teaching staff as recorded by the HESA staff record. **All metrics will be averaged over the most recent three years' data.**

Perspective	Proposed metrics
Research partnerships	<ul style="list-style-type: none"> Contribution to collaborative research (cash and in-kind) as proportion of public funding (HE-BCI table 1a) Co-authorship with non-academic partners as a proportion of total outputs (data provider TBD)
Working with business	<ul style="list-style-type: none"> Innovate UK income (KTP and grant) as proportion of research income (Innovate UK) Contract research income with businesses per academic FTE (HE-BCI table 1b) Consultancy income with businesses per academic FTE (HE-BCI table 2)
Working with the public and third sector	<ul style="list-style-type: none"> HE-BCI contract research income with the public and third sector per academic FTE (HE-BCI table 1b) HE-BCI Consultancy income with the public and third sector per academic FTE (HE-BCI table 2)
Skills, enterprise and entrepreneurship	<ul style="list-style-type: none"> HE-BCI CPD/CE income per academic FTE (HE-BCI table 2) HE-BCI CPD/CE learner days delivered per academic FTE (HE-BCI table 2) HE-BCI Graduate start-ups rate by student FTE (HE-BCI table 4)
Local growth and regeneration	<ul style="list-style-type: none"> Regeneration and development income from all sources per academic FTE (HE-BCI table 3) <i>Additional narrative/contextual information</i>
IP and commercialisation	<ul style="list-style-type: none"> Research resource (income) per spin-out (HE-BCI table 4) Average external investment per formal spin-out (HE-BCI table 4) Licensing and other IP income as proportion of research income (HE-BCI table 4)

Public and community engagement	<ul style="list-style-type: none"> • Time per academic staff FTE committed to public and community engagement (paid and free) across: • Events • Performances • Museums and galleries (HE-BCI table 5) • <i>Additional narrative/contextual information</i>
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Annex D – Local Growth & Regeneration – proposed narrative content

Purpose of the KEF

- To provide businesses and other users more information on universities strengths.
- To provide universities with new tools to understand, benchmark and improve their performance.
- To provide greater public visibility and accountability.

Purpose of the narrative statement

The KEF team have examined a wide variety of information on knowledge exchange activities that is currently gathered to establish metrics that are:

- Useful
- Robust
- Universal
- Timely
- Focussed

We consider in this perspective, that on their own, the existing metrics do not provide a full picture of the scale and variety of activities undertaken by higher education institutions. We intend to work with the sector to develop, where possible, metrics that will capture the outcomes derived from of HEIs' knowledge exchange (KE) activities on local growth and regeneration in the future.

In the meantime we will supplement the Local Growth and Regeneration perspective of the KEF by requesting a narrative statement from each provider to set out the main mission, strategic goals, activities, outputs and potential outcomes from its work. **The narrative statement will not be assessed, it will form part of the overall institutional picture presented by the KEF.**

Local growth and regeneration

We are looking for institutions to demonstrate activities, outputs and potential outcomes relating to local growth and regeneration that are achieved both as a by-product of general KE activity and those that are targeted to benefit the local area as follows:

Institution owned knowledge exchange activities with spill over outcomes that relate to local growth and regeneration.

By this we mean the generic KE activities that an institution is undertaking to meet its wider

strategic goals, but as a consequence of these activities, local growth and regeneration outputs and outcomes are also achieved.

Specific knowledge exchange activities that are targeted to make a difference locally.

By this we mean targeted KE activity where higher education institutions, businesses, public sector and the wider civil society work together to achieve a strategic goal with a prime focus on local growth or regeneration in a self-defined local area. This may include local economic development, social inclusion, public space or infrastructure improvements and reconversion of brownfield areas.

Narrative statement required content

The narrative submission must include distinct, standalone responses under each of the seven headings listed below:

1. Institution name

2. Contact details (email address and telephone number)

- The contact details provided should be relevant to the local growth and regeneration activities of the institution. The information will be published as part of the narrative statement and can be a named individual or a generic contact point.

3. Context

- This is an opportunity to provide any additional contextual information in reference to this perspective, such as:
 - i. Internal context i.e. institution's mission or research and teaching characteristics.
 - ii. External context i.e. self-defined local area, such as geographical location, local economy, population, socio-economic context.

4. Strategic goals

- A brief overview of your strategic goals relating to local growth and regeneration including reference to how your institution ensures these goals are embedded and recognised? E.g. has your institution enacted any policies or procedures or made any external commitments in relation to this perspective?

5. General knowledge exchange activity, outputs and outcomes

- What knowledge exchange activities are undertaken to meet your wider institutional strategic goals, but which also achieve outcomes that relate to local growth and regeneration as a consequence of your location. (E.g. If you are undertaking public engagement which is focused on your local area, you may wish to record any outcomes within this local growth perspective.)

- In what way do these knowledge exchange activities link to outcomes relating to local growth, how is it measured?

6. Targeted knowledge exchange activity, outputs and outcomes in relation to local growth and regeneration

- What specific targeted activities take place to support local growth and regeneration and who is involved?
- What are the outputs and potential outcomes of your activity, on whom, how is it measured?

7. External recognition or awards

- Have you received any external recognition for your activities and outcomes, as an institution or for individual projects?

Presentation, format and page limits

HEIs are free to present the information in the format they consider most accessible. Tables, images and graphs are admissible within the format and page limits outlined below and we would particularly welcome a clear demonstration of the link between strategic goals, activity, outputs and potential outcomes such as logic models.

The narrative statement must adhere to the following:

- Maximum of two A4 sides
- Machine readable format (no scanned documents)
- Narrative text to be Arial font or similar, 11 point (minimum)
- Single line spacing (minimum)
- 2 cm margins (minimum)
- Incorporate all the headings set out above

Style guidance consistency

To help institutions use their evidence across different platforms and to facilitate comparison between providers, we strongly encourage institutions to make use of the RAND EUROPE report ['Guidance for standardising quantitative indicators of impact within REF case studies'](#).

Contextual information

The KEF metrics provide empirical contextual information about the characteristics of the institution. Institutions are invited to complement this information with brief additional context to explain aspects such as mission or characteristics or external factors such as the local economic environment or

communities that cannot be fully demonstrated by the metrics. This must be contained within the overall page limit of the narrative statement.

Evidence based statements

All statements must be factual and verifiable. The emphasis should be on a narrative overview based on quantitative indicators of activity, outputs and outcomes on local growth and regeneration by the institution. Statements should focus on activity and performance within the last three years. Use of relative terms such as ratios, proportions and percentage changes is encouraged.

Evidence that supports your statements may include internal non-benchmarked or externally audited sources. However, any statements must be factual and verifiable on request. The submission should form a cohesive standalone document with all the primary relevant information included. External links (beyond standard references) to third party evidence are not permissible

Publication

All narrative statements will be published on the Research England website alongside the results of the KEF metrics and will not be subject to copy editing. Institutions should take care to ensure that the statements do not contain any sensitive or personal information. The KEF team reserve the right to redact statements found to be erroneous or misleading.

Annex E – Public & Community Engagement – proposed narrative content

Purpose of the KEF

- To provide businesses and other users more information on universities
- To provide universities with new tools to understand, benchmark and improve their performance
- To provide greater public visibility and accountability.

Purpose of the narrative statement

The KEF team have examined a wide variety of information on knowledge exchange activities that is currently gathered to establish metrics that are:

- Useful
- Robust
- Universal
- Timely
- Focussed

We consider in this perspective, that on their own, the existing metrics do not provide a full picture of the scale and variety of activities undertaken by higher education institutions. We intend to work with the sector to develop, where possible, metrics that will capture the outcomes derived from of HEIs' knowledge exchange (KE) activities on public and community engagement in the future.

In the mean time we will supplement the Public & Community Engagement perspective by requesting a narrative statement from each provider to set out the main mission, strategic goals, activities, outputs and potential outcomes from its work. **The narrative statement will not be assessed, it will form part of the overall institutional picture presented by the KEF.**

Public & Community engagement

For the purposes of the Public & Community Engagement perspective we are basing our understanding of 'public [& community] engagement on the National Co-ordinating Centre for Public Engagement (NCCPE)'s definition of public engagement.

"Public engagement describes the myriad of ways in which the activity and benefits of higher education and research can be shared with the public [and communities]. Engagement is by

definition a two-way process, involving interaction and listening, with the goal of generating mutual benefit."

We have encompassed 'community' into the NCCPE's existing definition of public engagement but we are not seeking to limit what forms of community a particular HEI may engage with. As noted in the [style guidance](#), please include reference to the primary shared characteristic of any community you refer to.

Narrative statement required content

The narrative submission must include distinct, standalone responses under each of the seven headings listed below:

1. Institution name

2. Contact details (email address and telephone number)

- The contact details provided should be relevant to the public engagement activities of the institution. The information will be published as part of the narrative statement and can be a named individual or a generic contact point.

3. Context

- This is an opportunity to provide any additional contextual information in reference to this perspective, such as:
 - i. Internal context i.e. institution's mission or research and teaching characteristics.
 - ii. External context i.e. self-defined local area, such as geographical location, local economy, population, socio-economic context.

4. Strategic goals

- A brief overview of your strategic goals relating to public and community engagement, including reference to how you ensure these are embedded and recognised throughout your organisation. E.g. has your institution developed any policies or procedures, undertaken any structured self-assessment or made any external commitments in relation to this perspective?

5. Activity

- What public and community engagement activity has been developed to deliver your strategic goals, who is involved?

6. Outputs and potential outcomes

- What are the outputs and potential outcomes of your public and community engagement activity, on whom, how is it measured?

7. External recognition or awards

- Have you received any external recognition for your activity as an institution or for individual projects? For example NCCPE's Engage Watermark or equivalent?

Presentation, format and page limits

HEIs are free to present the information in the format they consider most accessible. Tables, images and graphs are admissible within the format and page limits outlined below and we would particularly welcome a clear demonstration of the link between strategic goals, activity, outputs and potential outcomes such as logic models.

The narrative statement must adhere to the following:

- Maximum of two A4 sides
- Machine readable format (no scanned documents)
- Narrative text to be Arial font or similar, 11 point (minimum)
- Single line spacing (minimum)
- 2 cm margins (minimum)
- Incorporate all the headings set out above

Style guidance consistency

To help institutions use their evidence across different platforms and to facilitate comparison between providers, we strongly encourage institutions to make use of the RAND EUROPE report ['Guidance for standardising quantitative indicators of impact within REF case studies'](#).

Contextual information

The KEF metrics provide empirical contextual information about the characteristics of the institution. Institutions are invited to complement this information with brief additional context to explain aspects such as mission or characteristics or external factors such as the local economic environment or communities that cannot be fully demonstrated by the metrics. This must be contained within the overall page limit of the narrative statement.

Evidence based statements

All statements must be factual and verifiable. The emphasis should be on a narrative overview based on quantitative indicators of activity, outputs and outcomes on public and community engagement by the institution. Statements should focus on activity and performance within the last three years. Use of relative terms such as ratios, proportions and percentage changes is encouraged.

Evidence that supports your statements may include internal non-benchmarked or externally audited sources. However, any statements must be factual and verifiable on request. The submission should form a cohesive standalone document with all the primary relevant information included. External links (beyond standard references) to third party evidence are not permissible

Publication

All narrative statements will be published on the Research England website alongside the results of the KEF metrics and will not be subject to copy editing. Institutions should take care to ensure that the statements do not contain any sensitive or personal information. The KEF team reserve the right to redact statements found to be erroneous or misleading.

Annex F – Expression of interest in pilot exercise

English HEIs previously designated for funding by HEFCE who wish to express an interest in participating in the KEF pilot exercise should return the information detailed in the table below to KEpolicy@re.ukri.org by **midday on Friday 25 January 2019**. All institutions expressing an interest will be notified of the outcome by Thursday 31 January 2019.

Who is eligible to take part?

All English HEIs designed for Research England funding are eligible to express an interest if they wish. You do not need to be in receipt of HEIF funding, and we particularly encourage small or specialist institutions and those institutions in particularly challenging geographic areas to consider volunteering. Note that we intend to engage with HEIs outside of England via their devolved funding bodies.

What will the pilot involve?

We intend to use the pilot to explore in depth the proposed approach to the KEF via a series of workshops with the pilot group. These facilitated workshops will each focus on a particular aspect of the KEF design. For example, we will hold workshops exploring the various perspectives and their metrics. As part of this, we will ask you to undertake some pre-workshop activity, such as preparing a first draft of the proposed narrative template for discussion at the workshop, or checking the robustness of your metric submissions.

We would normally expect the individual we engage with to be your nominated KE contact. However you may wish to include other individuals in the pilot process where their expertise is of particular value.

How will we choose participants?

We anticipate selecting a representative cross-section of 12-16 HEIs and will select volunteers who together represent a range of types of institution, geography and mission/focus. Depending on the level of interest it therefore may not be possible to accommodate all volunteers.

Will we publish the results?

We will publish a list of participating institutions. We also intend to publish the results of the pilot, including the scores of the individual institutions involved, relative to their peer group average, but as a static document, rather than the proposed final interactive dashboards. However, publication of

the results will not constitute a final 'KEF result', and the results will be framed in the context of a report evaluating the success of the pilot.

How will your participation (or non-participation) affect your funding or other dealings with Research England?

Submitting an expression of interest is entirely voluntary. Your participation (or non-participation) and any outcome for your institution in this pilot will have no effect on our funding or other decisions relating to your institution. Your ability to receive other Research England funding (for example, through competitive schemes) will be unaffected.

KEF pilot expression of interest

To express an interest in participating in the KEF pilot please email KEPolicy@re.ukri.org with the below information by **midday on Friday 25 January 2019**.

Name of institution	
Contact person for correspondence, who is also responsible for ensuring that the head of institution has approved this KEF pilot EOI submission to Research England	
Name	
Position	
Address	
Email	
Telephone	
Please confirm that if selected you will commit to participate as described (via workshops and pre-workshop activity) and that you acknowledge that we will publish the outcomes as described. Yes/No	
Have you received approval from your head of institution to submit this KEF pilot EOI to Research England? Yes/No	